

FORM PTO-1390  
(REV 12-29-99)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

PA1064US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/554417  
UNKNOWNINTERNATIONAL APPLICATION NO.  
PCT/US99/24088INTERNATIONAL FILING DATE  
October 14, 1999PRIORITY DATE CLAIMED  
October 14, 1998

## TITLE OF INVENTION

System And Method Of Securing A Computer From Unauthorized Access

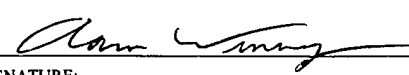
APPLICANT(S) FOR DO/EO/US

Lynn Spraggs

529 Rec'd PCT/PTO 11 MAY 2000

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C.371(b) and PCT Articles 22 and 39(1).
  4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19(35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:**
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information: Verified Statement Claiming Small Entity Status; Petition to Make Special Because of Prospective Manufacture Under 37 C.F.R. 1.102; Statement in Support of Petition to Make Special; Petition Fee (\$130.00)

U.S. APPLICATION NO. (37 CFR 1.53) <b>08/55441</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US99/24088</b>		ATTORNEY'S DOCKET NUMBER <b>PA1064US</b>	
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$970.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO. .... <b>\$840.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$690.00</b> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$670.00</b> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$96.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS</b> PTO USE ONLY <div style="border: 1px solid black; height: 100px; width: 100%;"></div>	
				<b>\$ 690.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	16 - 20 =	0	X \$18.00	\$ 0.00	
Independent claims	3 - 3 =	0	X \$78.00	\$ 0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$ 0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 690.00</b>	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$ 345.00	
<b>SUBTOTAL =</b>				<b>\$ 345.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 345.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property				\$ 40.00	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 385.00</b>	
				Amount to be	\$
				refunded:	\$
				charged:	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>385.00</u> to cover the above fees is enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>06-0600</u> . A duplicate copy of this sheet is enclosed.					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO:					
Aaron R. Wininger Carr & Ferrell, LLP 2225 East Bayshore Road, Suite 200 Palo Alto, CA 94303			<div style="text-align: center;">             SIGNATURE:         </div> <div style="text-align: center;"> <u>Aaron R. Wininger</u>            NAME         </div> <div style="text-align: center;"> <u>45,229</u>            REGISTRATION NUMBER         </div>		

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Lynn D. Spraggs  
SERIAL NO.: Unknown  
FILING DATE: Unknown  
INTL. APP. NO.: PCT/US99/24088  
INTL. FILING DATE: October 14, 1999  
TITLE: System and Method of Securing a Computer from  
Unauthorized Access  
ATTY.DKT.NO.: PA1064US

---

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

STATEMENT IN SUPPORT OF PETITION TO MAKE SPECIAL BECAUSE OF  
PROSPECTIVE MANUFACTURE UNDER 37 C.F.R. § 1.102

SIR:

I, an officer of the assignee of the entire right, title and interest in the above-identified patent application, hereby state:

1) ☐ The assignee possesses sufficient capital in the amount of \$\_\_\_\_\_ and facilities comprising \_\_\_\_\_ to manufacture the invention in quantity, or  
☒ Sufficient capital and facilities will be made available to the assignee if a patent is granted;

2) Unless certain that the patent will be granted, the assignee:

☐ will not manufacture the invention, or

☒ will not increase present manufacture of the invention;

3) The assignee obligates itself to manufacture the invention in the United States

05/30/2000 wlaykew 000061 09554417  
03 FC 122 130.00

or its possessions, in quantity immediately upon the allowance of claims or issuance of a patent which will protect the investment of capital and facilities; and

4) The assignee has caused to be made a careful and thorough search of the prior art.

Dated: 4/27/00

By: Ashok Mathur  
Ashok Mathur

President  
Title

Aegis Systems Inc.  
Assignee

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Lynn D. Spraggs  
SERIAL NO.: Unknown  
FILING DATE: Unknown  
INTL. APP. NO.: PCT/US99/24088  
INTL. FILING DATE: October 14, 1999  
TITLE: System and Method of Securing a Computer from  
Unauthorized Access  
ATTY.DKT.NO.: PA1064US

---

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**PETITION TO MAKE SPECIAL BECAUSE OF PROSPECTIVE MANUFACTURE  
UNDER 37 C.F.R. § 1.102**

SIR:

Applicant hereby petitions to make this application special because of prospective manufacture. Attached to this petition is a check for \$130.00 to cover the fee under 37 C.F.R. § 1.17(i).

Also attached is a statement by the assignee alleging: 1) that sufficient capital and facilities will be made available if a patent is granted; 2) the prospective manufacturer will not increase present manufacture, unless certain that the patent will be granted; 3) the prospective manufacturer obligates itself to manufacture the invention in the United States or its possessions, in quantity immediately upon the allowance of claims or issuance of a patent which will protect the investment of capital and facilities; and 4) the assignee has caused to be made a careful and thorough search of the prior art.

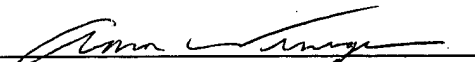
One copy of each of the references deemed most closely related to the subject matter encompassed by the claims are enclosed.

Please charge our Deposit Account No. 06-0600 for additional fees that may be incurred. A duplicate copy of this letter is attached for this purpose.

Respectfully submitted,  
Lynn D. Spraggs

Dated: May 11, 2000

By:

  
Aaron Winger, Reg. No. 45,229  
Carr & Ferrell LLP  
2225 East Bayshore Road, Suite 200  
Palo Alto, CA 94303  
(650) 812-3400